

Format Rejection Errors – Frequently Asked Questions

E-Filing Document identified as ‘Format Error’ FAQ

Overview:

When a filing is not successfully processed and identified as having a ‘Format Error’, this indicates that the filing has one or more document files that are not valid for filing document conversion. The underlying cause of the issue is typically that the document was not successfully uploaded, or has a characteristic that prevents the standard processing of the file.

As a start, errors of this type will be minimized if they comply with a standard format that includes the following:

- 8.5 X 11 size with a Portrait Orientation
- Above 200 DPI resolution
- No Unintelligible Images (i.e. all-black images)
- Non-Secured document properties (i.e not password-protected)
- Black and white images (no color, including a signature in blue ink)
- No external references (URLs, shortcuts, etc.)

What are the Likely Causes of a ‘Format Error’?

- Corrupt Files (i.e. files with 0 bytes of data)
- Secured or password-protected PDF’s
- Color Images (this includes a signature in blue ink)
- File types other than Word, WordPerfect, PDF or Tiff
- Files containing a non-standard font (CID)
- Files with non-standard image compression (standard is CCIT, this is usually a scanner setting)
- A document that has Optical Character Recognition (OCR) associated with it, usually determined by a larger files size
- Any file that experienced an upload issue or time out on the file transfer on behalf of the filing party – usually appearing as an incomplete image or file when opened.
- A document scan that is in landscape or noticeably off center, or of an irregular size.
- Any scan (PDF or TIFF) that is unreadable or has large black images in the document where pictures may have been.
- A file that contains an invalid table (usually a result of importing or pasting table data into a word processing application. See below for example.)

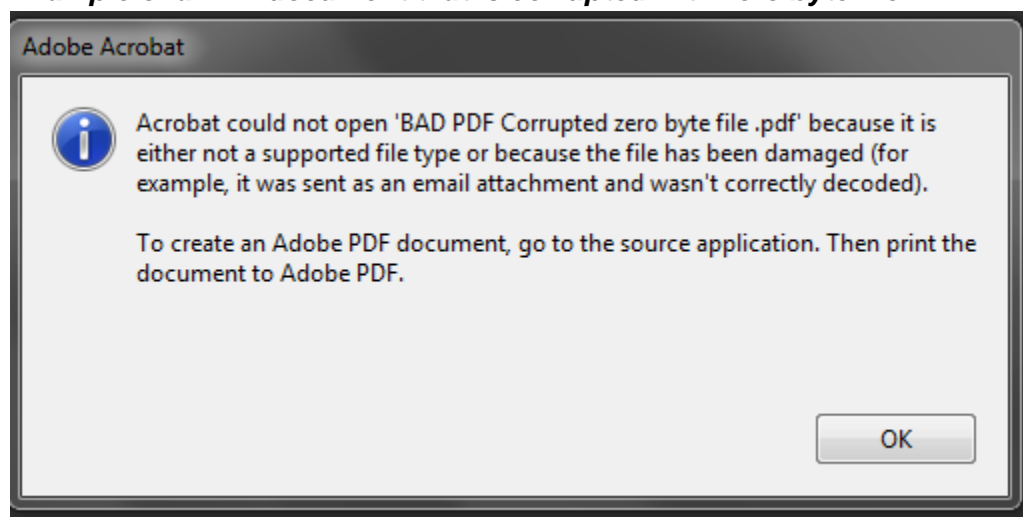
Actions to Identify the Format Issue:

Is the document file corrupt?

The first action is to identify if the document files were successfully uploaded. This can be accomplished by opening the document files from the filing detail link. If the files cannot be opened with the original document authoring tool, then this e-filing should be canceled, and a new filing created.

Prior to uploading the documents for the new filing, confirm that the document files can be opened successfully from the source.

Example of a PDF document that is corrupted with zero byte file:

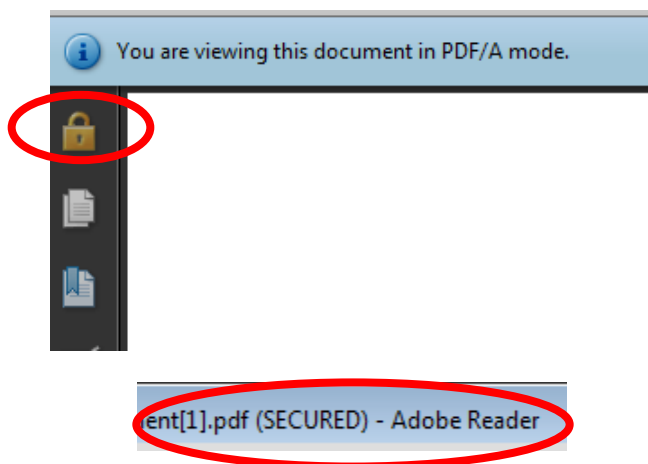


Example of a word document that is corrupted with an invalid table:

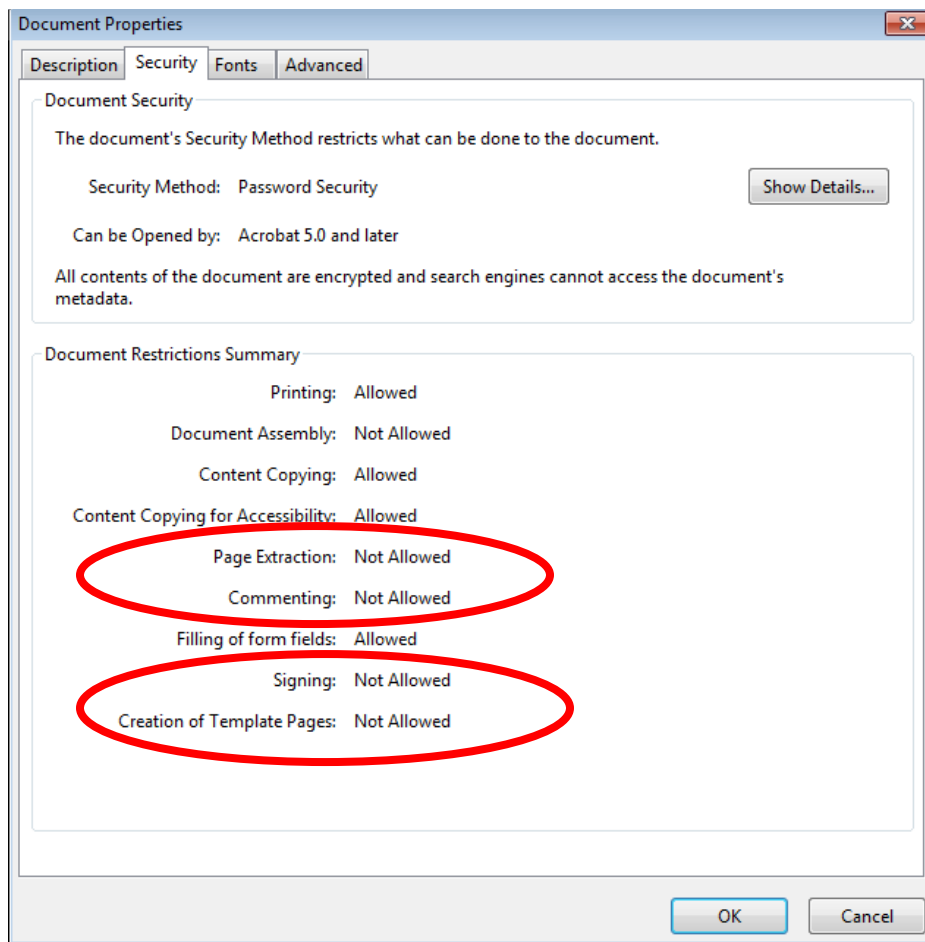


Is the document file secured?

PDF files can have a variety of security settings that can prevent a document file from being e-filed. A file with document security will have a padlock icon on the document or identified on the file name, as in the following exhibits.



The document security can include a number of different options, any of which will prevent the document file from being processed. The file will need to be recreated with no security options.



Does the document file contain unsupported fonts?

A document can be created with the font resources included in the file. This is a standard with PDF/A files. Some document generating tools utilize fonts that are not supported, and result in the inability to convert the document into the standard e-filing format.

There are multiple ways to evaluate the fonts that are embedded in the file. PDF viewers can show the fonts utilized in the filing, or the file editors can allow you view the fonts utilized.

Fonts that are not support include CID and JBig.

Example of a PDF viewer identifying the fonts used by a PDF file:

